## 2 - Integrity: Ethical and Responsible Conduct

The institution acts with integrity; its conduct is ethical and responsible.

## 2.A - Core Component 2.A

The institution establishes and follows policies and processes to ensure fair and ethical behavior on the part of its governing board, administration, faculty and staff.

1. The institution develops and the governing board adopts the mission.
2. The institution operates with integrity in its financial, academic, human resources and auxiliary functions.

### Argument

***1. The institution develops and the governing board adopts the mission.***

The current mission of the University shares much with the school as was originally founded in 1852: faith-based, oriented toward societal needs, and open to students from a variety of backgrounds. The mission was developed by a committee of faculty, administration, and trustees in the late 1990’s and was adopted by the Board of Trustees in 1998. In 2016, as part of a strategic planning process that involved trustees, faculty, and administration, an updated version of the mission was presented to the Board of Trustees for their approval. The updated version added introductory framing sentences and clarified the language in some of the bullet-point commitments listed in the mission.

***2. The institution operates with integrity in its financial, academic, human resources and auxiliary functions.***

Policies, processes, and expectations related to integrity are defined with the guiding documents relevant to the following groups: board of trustees ([By-Laws](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029695)), administration and staff ([Staff Handbook](https://www.dbq.edu/media/AboutUD/Employment/Employee-Handbook.pdf)), faculty ([Faculty Handbook](https://www.dbq.edu/media/AboutUD/Employment/UD-Faculty-Handbook--Updated-5.22.19.pdf)), and students ([Student Handbook](http://www.dbq.edu/media/CampusLife/VPofStudentLife/StudentHandbook-2018-2019.pdf)). Need other student handbooks

These guiding documents are reviewed on a regular basis, with oversight by the President, the Board of Trustees, and the University of Dubuque’s legal counsel. The Missional Accountability Group, comprised of operation leaders across campus, regularly reviews guiding documents for currency and compliance with all legal requirements.

*Financial Functions*

The University complies with the Financial Accounting Standards Board and the audit guide for non-profit institutions to provide financial statements produced using Generally Accepted Accounting Procedures. The University also follows the principles and procedures for institutional accounting published by the National Association of College and University Business Officers. Each year, a public accounting firm provides the University with an [independent audit](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029730), completed in accordance with the generally accepted auditing standards. They supply the University with a [management letter](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029732) and the Vice President of Finance and Auxiliary Services, reporting to the Finance Committee of the Board of Trustees, addresses any issues presented in that letter prior to the fall meeting of the [Finance Committee](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029728).

The Vice President of Finance and Auxiliary Services and the President of the University work closely with the President’s Cabinet in the budgeting process. Each cabinet member is tasked with developing revenue projections for the upcoming year and preparing departmental requests for the new budget. Once the projected revenue portion of the budget has been prepared, the Cabinet meets with the President to review the projections and propose operating budgets and capital requests. The Cabinet’s recommendations are then forwarded to the President, and reviewed by the Finance Committee of the Board of Trustees. The Finance Committee then recommends the [fiscal year budget](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029729) for preliminary approval by the Board of Trustees at its May board meeting. At its fall meeting, the Board approves the [budget](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029727) in its final form. Once approved by the Board of Trustees, budgets for the upcoming year are provided to the Cabinet members with oversight responsibility.

The [Investment Committee](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029715) of the Board leads the effort to ensure that UD’s investments are managed ethically, with integrity, and as instructed. The Investment Committee utilizes the services of three national [investment firms](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029733) in managing the University’s investment portfolio.

The Advancement staff works with the President and the Board of Trustees in establishing annual goals, capital giving, and planned giving. Staff members participate in the Council for Advancement and Support of Education and the Association for Fundraising Professionals, in order to access information on best practices to be used in their fundraising efforts. To assist with planned giving, the UD Advancement team works closely with Thompson and Associates, a consulting firm that works with nonprofits to help lead prospective donors through a personalized and comprehensive charitable estate planning process.

Resources and information which can assist students and their families as they go through the process of requesting and accepting financial aid are listed on the UD [website](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029708). Through the website, the financial aid office provides detailed information on the price of attendance, how to apply for aid, what aid is available at UD, and a list of important dates. The office strongly encourages prospective students and their family to meet one-on-one with a financial aid or admissions counselor to ensure that the financial aid package and its implications are understood.

The Deans of Admission and Financial Planning meet regularly to examine the strategy for awarding aid at the University of Dubuque. This annual review ensures that its policy is congruent with the Mission and Vision and supports the class profile, student-body attributes, revenue goals, and other relevant factors.

*Academic Functions*

The University ensures that faculty advance the mission of the institution with integrity. The [Faculty Handbook](https://www.dbq.edu/media/AboutUD/Employment/UD-Faculty-Handbook--Updated-5.22.19.pdf) outlines the policies and procedures related to the faculty role. Beyond work on committees, faculty members play an essential co-managerial role in the formulation, recommendation and effectuation of academic policy. This includes proposing and administering policies concerning grading, classroom student conduct, student progress, degree requirements, curricular content, course offerings, admission standards, departmental staffing, educational policies and standards, faculty promotion, faculty tenure, faculty appointment and retention, and faculty professional development. The Faculty rely on a strong system of faculty-led committees through which much of the policy work is accomplished.

Faculty participate in an [annual review](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029706) with an academic dean that provides an opportunity to review the activities of both the faculty member and the institution.  Student academic records are maintained by the University Registrar through the Jenzabar© student information system.

Student conduct is covered by student handbooks at the undergraduate and graduate level. These handbooks include information and policies on academic and student conduct issues.

*Human Resources Functions*

The Employee Handbook provides information and policies related to integrity, including areas such as FERPA compliance, discrimination, and Title 9/Clery reporting. Each new employee at the University of Dubuque is provided with the [Mission](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029722) and the Employee Handbook and is expected to commit to advancing the UD Mission. Staff employees participate in onboarding activities and faculty participate in a year-long orientation program. Employees who are in key faculty and administrative positions are asked to reflect on UD’s Mission as part of the interview process. Once hired, the Director of the Wendt Character Initiative meets with key new hires to reflect on the importance of [character](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029723)—acting with integrity, justice and compassion—at the University of Dubuque. Members of the President’s Cabinet are responsible for the evaluation of staff members within their area of oversight. The form of the evaluation varies depending on the area of the university and the nature of the position.

Each year, employees receive training across a variety of areas, including Title 9, Clery Act, active shooter training, and recognizing and responding to brain health issues.

*Auxiliary Functions*

Auxiliary functions include the Physical Plant, Marge Kremer Childcare Center, Smeltzer-Kelly Student Health Center, campus stores, food service operations (Sylvia’s Coffeehouse, Mike and Betty’s Ice Cream Shop, the Heritage Center Café), security services, and print and postal services. Responsibility for overseeing these functions is split between Vice President for Operations and the Vice President of Finance. The University’s security officers create relationships with UD students and develop a positive rapport with the student body, earning their trust. The University of Dubuque expects high ethical and moral character in its support staff and the security personnel live up to these expectations. The Coordinator of University Safety and Awareness provides [training](https://www.dbq.edu/media/AboutUD/Employment/Employee-Handbook.pdf) to all staff and maintains [public information](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029704).

### Sources

* Audit
* Bylaws Amended for Approval 12-15-2016- Ratified by Board 4-29-2017
* Cabinet Level Personnel Evaluations
* Clery Report Information
* Faculty Review Form
* Final Budget
* Finance Minutes
* Financial Aid Webpage
* Investment Committee Minutes 2014 - 2018
* Investment Companies
* Management Letters
* Preliminary Budgets
* UD Mission Brochure
* Wendt Character Initiative Mission and Impact

## 2.B - Core Component 2.B

The institution presents itself clearly and completely to its students and to the public.

1. The institution ensures the accuracy of any representations it makes regarding academic offerings, requirements, faculty and staff, costs to students, governance structure and accreditation relationships.
2. The institution ensures evidence is available to support any claims it makes regarding its contributions to the educational experience through research, community engagement, experiential learning, religious or spiritual purpose and economic development.

### Argument

***1. The institution ensures the accuracy of any representations it makes regarding academic offerings, requirements, faculty and staff, costs to students, governance structure and accreditation relationships.***

The [www.dbq.edu](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029724) website is the primary vehicle through which the University presents itself to the public. Detailed information is available on the website regarding the University’s curricular and co-curricular programs.

Program information and requirements are contained in the various program catalogs and handbooks. Links to the academic catalogs are available on the [Registrar’s page](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029717) of the website and on individual program web pages. The catalogs provide information on all academic policies, academic departments, accreditation, major and minor programs, as well as graduation requirements. Once a student has matriculated, UD provides access to an [online degree audit](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029712) tool that lays out the specific degree requirements for that student based on his/her chosen program.

Access to information about the faculty at the University of Dubuque is available on the individual department pages on the UD website. Each discipline of study has a [program landing page](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029714) on the website with a description of the program and links to relevant information, including a link to faculty pictures and contact information. Staff members are listed on each [administrative department's landing page](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029713)**. Information about academic outcomes are provided in the academic section of the website.**

Costs to students are articulated on the University of Dubuque website. A total tuition, fees, and room and board charge is listed along with additional fees and other estimated charges. Full information on housing and meal plan charges are listed, along with complete access to financial aid options. The financial aid information provides students and their families access to the [net price calculator](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029725) along with [links](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029720) to scholarships and grants, student loan counseling, and external links to organizations which may be able to assist in the costs of attending the University of Dubuque.

The University’s accreditation by the Higher Learning Commission of the North Central Association is indicated by the HLC logo at the bottom of the University of Dubuque [home webpage](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029724). Accreditation relationships, at the institutional and program level, are listed on the [accreditation page](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029691) of the website and includes contact information for each accreditation agency. Individual program accreditation is also described on program-specific webpages and listed in their respective academic catalogs.

The University of Dubuque is controlled by a board of trustees, which operates under the articles of incorporation and bylaws of the University.  A list of trustees and senior administrators of the University is available on the [president's landing page](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029716) of the website.

On campus, MyUD is the official information system portal for students and employees. This provides a centralized location for students to access a wide variety of information.

***2. The institution ensures evidence is available to support any claims it makes regarding its contributions to the educational experience through research, community engagement, experiential learning, religious or spiritual purpose and economic development.***

Beginning in the Fall of 2018, new students were asked to sign a "[**S**tudent Success Commitment](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029810)" as part of the orientation process. This commitment, based on the work of the Gallup Purdue Index, identifies seven commitments the University is making to the student and seven commitments the student is making to the University. Although progress was slowed by the pandemic, the goal is to identify and track measures for each University and student commitment included in the Student Success Commitment.

Through participation in the Integrated Postsecondary Education Data System (IPEDS) and the National Student Clearinghouse, the University reports retention, persistence, and graduation rates, consistent with standard industry practice. An internal “Fast Facts” report provides a summary of UD data with trend information over several years. Some colleges and programs also publish outcome data about their graduates.

For several years, Career Services partnered with Iowa Workforce Development to track actual earnings and industry location of every graduate. As a result, we had objective information about all graduates. Regulatory changes eliminated this partnership, and so we now rely on self-reports from graduates.

With a significant full-time residential student population, co-curricular programs are an essential part of a holistic educational experience for students. Three programs that contribute significantly to the education experience are the [Center for Advising](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029820), the Wendt Character Initiative, and the [Academic Success Center](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029739). Professional advisors in the Advising Center ensure that students are well served from matriculation to graduation and beyond.

Centered in the University's Mission and Values and consonant with its Reformed Christian identity, the Wendt Character Initiative engages the university community in a cooperative and spirited effort to foster intellectual understanding of and personal commitment to leading lives of purpose and excellent moral character. The initiative promotes a campus culture of excellent moral character and purposeful lives through a variety of programming efforts.

The Academic Success Center is centrally-located within the Charles C. Myers Library and provides academic support services ranging from tutoring to disability services.

The intercollegiate and intramural athletic program has a significant impact on the campus culture. Of the full-time undergraduate student population, 593 students, 35 percent, are [involved in intercollegiate athletics](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029741). The University is part of the [American Rivers Intercollegiate Athletic Conference](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029744). Half of the eight other conference schools are within two hours from the Dubuque campus. This creates a healthy rivalry within the conference, and as one strolls across campus, many students can be seen wearing UD gear.

In addition, the [intramural program](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029782) is open to all students, faculty, and staff on campus, promoting wellness and friendly competition among the members of the UD community. Intramurals are offered throughout the year and provide an opportunity to play sports ranging from disc golf to pickle ball to flag football and softball. This is a great opportunity for students to fill their leisure time in a fun and friendly environment, while most sports allow participants to choose between recreational and competitive levels. Over 40 percent of the University’s full-time undergraduate students participate in intramurals. For those simply interested in health and wellness, the Chlapaty Recreation and Wellness Center also offers different fitness classes and access to a weight room and walking track.

The University of Dubuque engages students in a meaningful learning experience and looks to multiple sources of evidence to substantiate its claims about an enriched and purpose-filled educational experience. One source is the National Survey of Student Engagement, administered every four years. UD is [engaging students](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029803) at a level equal to or greater than comparable institutions.

Beginning in the Fall of 2018, new students were asked to sign a "[**S**tudent Success Commitment](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029810)" as part of the orientation process. This commitment, based on the work of the Gallup Purdue Index, identifies seven commitments the University is making to the student and seven commitments the student is making to the University. The Director of Institutional Research, Assessment, and Planning, is coordinating an effort to identify and track measures for each University and student commitment included in the Student Success Commitment.

Service and service learning provide another data point for student engagement as an integral element to many areas of campus. Service and reflective service learning opportunities are provided for all students during new student orientation in a large group project format, and in one General Education course, World View Seminar II, where groups of students work with faculty and local organizations for one semester. Students are also engaged in service in extracurricular areas such as student organizations which collectively complete approximately 40 service projects per year. Off-campus work study programs offer students service opportunities at 16 local non-profit organizations and professional enrichment for approximately 14 students per year. Service components can be found elsewhere such as athletic teams, the residence halls, the [Wendt Center for Character Development](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029821), and many courses across the curriculum. There is more work to be done in measuring the success of graduates in living lives of purpose in the world. This issue is a source of ongoing conversation between the Board of Trustees and senior administrators. While there are no simple measures that adequately capture one’s purpose in the world, this issue is at the heart of the University’s Mission and will continue to inform its efforts at improvement.

### Sources

* 2018 Fall Fast Facts Demographics
* Academic Success Center Information
* Accreditation Webpage
* American Rivers Conference
* First Year Experience Information
* Intramural Sports Information
* Net Price Calculator
* NSSE Engagement 2016
* Nursing Program Information
* Office of Academic Affairs Information
* Online Degree Audit Tool
* President Webpage
* Registrar Office Webpage
* Scholarship Award and Grant Information
* Student Success Commitment
* Vocational Services Information
* Website Home Page
* Wendt Character Initiative Mission and Impact

## 2.C - Core Component 2.C

The governing board of the institution is autonomous to make decisions in the best interest of the institution in compliance with board policies and to ensure the institution’s integrity.

1. The governing board is trained and knowledgeable so that it makes informed decisions with respect to the institution’s financial and academic policies and practices; the board meets its legal and fiduciary responsibilities.
2. The governing board’s deliberations reflect priorities to preserve and enhance the institution.
3. The governing board reviews the reasonable and relevant interests of the institution’s internal and external constituencies during its decision-making deliberations.
4. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties.
5. The governing board delegates day-to-day management of the institution to the institution’s administration and expects the institution’s faculty to oversee academic matters.

### Argument

***1. The governing board is trained and knowledgeable so that it makes informed decisions with respect to the institution’s financial and academic policies and practices; the board meets its legal and fiduciary responsibilities.***

The University’s [Board of Trustees](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029718) is guided by a set of ByLaws, which were reviewed and updated in 20xx. As of Spring 2024, the Board membership stands a xx. Members bring expertise and experience in the fields of education, publishing, business, medicine, law, technology, the church, and civic leadership. They are strongly invested in the institution. Their service to the board ranges from 1 year to 37 years, averaging 13 years. Half of the trustees are alumni of the University. The Trustees are active in the Association of Governing Boards (AGB) and have been [cited](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029696) by AGB as a “game changer” board.

Board training happens at several levels. New trustees complete a trustee orientation program, which introduces them to the University. They are assigned a seasoned trustee as a peer mentor. At each meeting, the board reviews financial information and academic practices. At least once a year, the board engages in an extended educational session, often lasting a full day, on an issue of relevance to the trustee’s responsibilities. In addition, the president issues periodic white papers on a pressing higher education issue.

***2. The governing board’s deliberations reflect priorities to preserve and enhance the institution.***

The Board works to preserve and enhance the University. There are two Board [business meetings](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029694) each year, one in the fall and one in the spring, with an additional [educational conference](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029694) each year, offered separately or concurrent with the business meeting.  Much of the Board’s work occurs through its committees which meet throughout the year, the timing of which is dictated by the needs of the committee. Each committee chair, a member of the Board of Trustees, is responsible for providing a report to the full Board on the progress of the committees at the established board meetings. [Meeting minutes](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029697) and resource materials are made available to the Board of Trustees through the University’s trustee-secure web portal, Diligent Boardbooks. During the past three years, the Board has engaged in significant planning and dialog directed toward the long-term success of the University, including leadership succession planning. This work resulted in minor revisions to the University’s [mission](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029722) statement, the approval of a multi-year [strategic plan](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029719)**, and** a leadership succession retreat.

***3. The governing board reviews the reasonable and relevant interests of the institution’s internal and external constituencies during its decision-making deliberations.***

The Board reviews and considers the interests of internal and external constituencies. Before each business meeting, the Trustees receive [written reports](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029726) from faculty and staff.  Many committees involve employees and students in their meetings. At least once a year, the Board takes an outward look, drawing on the work of external experts. For example, in 2023, the board brought in an expert who has a long relationship with the Association of Governing Boards to provide context and guidance relative to senior leadership succession planning.

***4. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties.***

The Board preserves its independence. The By-Laws of the University directly address issues of [conflict of interest](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029705). As part of its annual audit and [IRS 990](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029731) reporting, the University annually sends a questionnaire to all Board members, cabinet, and key employees determined by the University, asking each to determine any related party/conflict of interest disclosures. Responses are reviewed to determine if there are any potential conflicts.

***5. The governing board delegates day-to-day management of the institution to the institution’s administration and expects the institution’s faculty to oversee academic matters.***

The Board has oversight of operations, but entrusts the day-to-day operations to the University administration and faculty through a well refined pattern of shared governance. The Board executive committee has the authority to assist administration in decisions requiring action between trustee meetings. The Board has been modifying the flow of trustee meetings in order to ensure that there is sufficient time to focus on long-range, board-level issues. Committees now meet well before the full board so that committee reports can be digested before the meeting. A consent agenda allows for less time spent on procedural issues, leaving more time for discussion.

The President, reporting to the Board of Trustees, works with his Cabinet of senior administrators to ensure that the University’s operations are in alignment with the Mission of the University and expectations as set by the Board. Together with the President, this team oversees day-to-day operations; oversees the execution, review, and updates in policy; and makes recommendations to the Board. The Vice President for Academic Affairs leads the faculty in managing all academic matters. Members of the faculty meet monthly throughout the academic year. Much of their work occurs through a system of [committees](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029700) and ad-hoc groups. These actions are reported to the board, with a request for action on any major changes, through the Academic Affairs Committee of the board.

### Sources

* Academic Affairs Organizational Chart
* Board Meeting Dates and Agendas 2014 - 2019
* Board Minutes 2014 - 2019
* Boards as Game Changers Article
* Bylaws Conflict of Interest Section - Page 7-8 highlighted
* Faculty Committees 2019-2020
* IRS 990
* Public List of Board of Trustees and Senior Management
* Reports to the Board from Various Faculty Staff Students 2015 - 2019
* Strategic Plan
* UD Mission Brochure

## 2.D - Core Component 2.D

The institution is committed to academic freedom and freedom of expression in the pursuit of truth in teaching and learning.

### Argument

The University is committed to [freedom of expression](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029698) and this is addressed in the Faculty Handbook. The Handbook addresses [professional ethics](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029699) and [plagiarism](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029701) as well. The specific language of the AAUP Statement on Professional Ethics and the AAUP Statement on Plagiarism is incorporated into the handbook and is considered an obligation of compliance of all faculty.

The student handbook includes a “values and values violations” section which defines the parameters of value-laden personal and community behavior focusing on justice, ethics, and responsible stewardship. This includes a section on academic integrity.

Every spring, the university gathers to celebrate student scholarship in an event called “Apex.”

Beyond the classroom, various student groups provide opportunities for hospitable spaces for freedom of expression. The Multicultural Center, which occupies prime space in the center of campus, provides a number of programs to support the personal expression of students.

### Sources

* Faculty Handbook\_Academic Freedom
* Faculty Handbook\_Professional Ethics
* Faculty Handbook\_Statement on Plagiarism
* Student Handbook\_Academic Integrity Policy

## 2.E - Core Component 2.E

The institution’s policies and procedures call for responsible acquisition, discovery and application of knowledge by its faculty, staff and students.

1. Institutions supporting basic and applied research maintain professional standards and provide oversight ensuring regulatory compliance, ethical behavior and fiscal accountability.
2. The institution provides effective support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff and students.
3. The institution provides students guidance in the ethics of research and use of information resources.
4. The institution enforces policies on academic honesty and integrity.

### Argument

***1. Institutions supporting basic and applied research maintain professional standards and provide oversight ensuring regulatory compliance, ethical behavior and fiscal accountability.***

The Institutional Review Board (IRB) is responsible for screening research in which human beings are the subject of inquiry. The [purpose](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029709) of the committee is to ensure that study participants’ rights are duly respected and their well-being protected by researchers. Any research project involving human subjects that is conducted by University of Dubuque faculty, staff, or students, or that takes place on the UD campus, is subject to review and approval by the University’s IRB. The IRB’s policies adhere to the Code of Federal Regulations Title 45 Part 46 Protection of Human Subjects (45CFR46). During the 2018-2019 academic year, the board reviewed the IRB processes and developed a more comprehensive and user-friendly [process](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029710). This included a faculty-wide [conference](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029702) on human subjects review in May of 2019, led by a member of the IRB staff at the University of Iowa.

The business office has appointed an individual to manage the financial aspects of all grants. This helps insures that employees, who may not deal with finances on a regular basis, are following all university policies with integrity.

Student research programs, particularly the Chlapaty and Butler Summer Research Fellowship program, include training on research protocols.

***2. The institution provides effective support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff and students.***

The first-year general education course, World View Seminar I, includes explicit instruction in academic integrity. This instruction is provided by the Wendt Center for Character Education. Throughout the year, the Wendt Center provides learning opportunities that encourage the development and exercise of excellent moral character. These include book discussions, campus-wide speakers, service projects, and gratitude week.

The Charles C. Meyers Library has developed a number of resources to help students engage in ethical research, including a web page that provides multiple resources and information about academic integrity.

***3. The institution provides students guidance in the ethics of research and use of information resources.***

[Student academic integrity policies](file:///%5C%5CFACWINFILE%5CFACFILE%5CSHARED%5CVPAA%5CHLC%5Cevidence%5Cviewfile%3FfileId%3D1029721) are included in the student handbook. These are reviewed as part of the required first-year general education course, World View Seminar 1.

Students are offered guidance in the ethical use of information resources, with the Charles C. Myers Library staff taking the lead. The library uses the standards and outcomes stated in the Association of College and Research Library’s ACRL Information Literacy Competency Standards for Higher Education. Librarians have created a [curriculum map](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029707) that locates these standards and outcomes throughout the General Education Curriculum and a number of majors. The ethical use of information is taught in a number of places, including World View Seminar I, which introduces students to college level academic work and English 104, [Introduction to Research Writing](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029711), which focuses on teaching students how to write in support of a thesis using quality resources.

The student learning management system, Moodle, includes access to Turn-It-In©, which allows students to understand how their writing aligns with the practices of integrity in citing sources.

***4. The institution enforces policies on academic honesty and integrity.***

The institution has and enforces policies on academic honesty and integrity. Integrity is a theme in both the University’s Mission and Values and the Wendt Character Initiative. New students, in signing the Student Success Commitment, agree to “learn to live a responsible life” and “exhibit positive moral and ethical character through my words and actions.” It is reinforced through the values and policies included in [Student](http://www.dbq.edu/media/CampusLife/VPofStudentLife/StudentHandbook-2018-2019.pdf) and [Faculty](https://www.dbq.edu/media/AboutUD/Employment/UD-Faculty-Handbook--Updated-5.22.19.pdf) Handbooks. These polices are reviewed as part of the required first-year general education course, World View Seminar 1 and built into the new faculty orientation program.

Academic integrity, as addressed in the Student Handbook, is an expectation of UD students. Each individual in the community is expected to be forthright and direct and to value integrity in all dealings. Explicitly, activities and attitudes should be consistent with high academic standards, Christian commitment, and the Mission of the University. In any case of suspected academic dishonesty in a course, the instructor initiates a meeting with the student. If an allegation of academic dishonesty is verified, the instructor notifies the student of the finding in writing and sends a copy of the letter along with the evidence to the Associate Dean for Teaching & Learning (undergraduate students) or the Dean for Graduate Studies (for Graduate students), where a file will be kept of all substantiated offenses. Depending on the nature and number of offenses, academic dishonesty will result in sanctions ranging from failure of an assignment to suspension from the University. The Office of Academic Affairs maintains a [record of all offenses](file:///C%3A%5CUsers%5Cjgreen%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5Cevidence%5Cviewfile%3FfileId%3D1029693). Looking forward, we are working to change the conversation on campus from an emphasis on curbing academic dishonesty to an emphasis on promoting academic integrity. For students, this begins in the first-year course, World View Seminar I and will culminate in the capstone in the major. For faculty, the Institutional Review Board is helping to raise awareness of academic integrity issues in the practice of research.

In academic programs ranging from Digital Art and Design to English to Political Science, the potential of Artificial Intelligence contributing to academic dishonesty has led to a shift in pedagogical strategies that create the conditions for integrity, including requiring source codes for digital images, multiple drafts of essays, and in-person “blue book” exams.

* Academic Dishonesty Reports Redacted.pdf
* Ethical Conduct of Human Subjects Research Presentation
* Information Literacy Curriculum Map\_Core Courses
* Internal Review Board Human Subjects\_Mandate
* Internal Review Board Human Subjects\_Process
* Intro to Research Writing Syllabus

## 2.S - Criterion 2 - Summary

The institution acts with integrity; its conduct is ethical and responsible.

### Summary

The University of Dubuque is committed to operating with integrity, acting in ethical and responsible ways.

Strengths:

* The Board of Trustees is invested in the University, and has created policies and processes that help them act responsibly on behalf of the University.
* The Wendt Center for Character Education provides resources and experiences that keep integrity at the forefront of university life.
* The Institutional Review Board provides helpful oversight of research projects by faculty and students.

Weaknesses:

* Collecting meaningful data on integrity continues to present a challenge.
* We have limited resources to assist faculty and students in administering grants.
* Data on UD graduates is not robust. We have not found an effective way to replace the Iowa Workforce Development data.

### Sources

There are no sources.